

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Lek Pharmaceuticals d.d.

Application No./Patent No.: 10/598,816

Filed/Issue Date: _____

Titled: Synthesis of 2-Methyl-4-(4-Methyl-1-Piperazinyl)-10H-Thieno(2,3-B) (1,5) Benzodiazepine and Salts Thereof

Lek Pharmaceuticals d.d., a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in
(The extent (by percentage) of its ownership interest is _____ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

the patent application/patent identified above, by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 022413, Frame 0833, or for which a copy therefore is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Monika Le-Good

Printed or Typed Name

Date

7.4.09
Patent Service Specialist

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Lek Pharmaceuticals d.d.Application No./Patent No.: 10/598,816

Filed/Issue Date: _____

Titled: Synthesis of 2-Methyl-4-(4-Methyl-1-Piperazinyl)-10H-Thieno(2,3-B) (1,5) Benzodiazepine and Salts ThereofLek Pharmaceuticals d.d. , a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in
(The extent (by percentage) of its ownership interest is _____ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made) the patent application/patent identified above, by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 022413, Frame 0833, or for which a copy therefore is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Gillian McCann

Printed or Typed Name

Date

Patent Service Specialist

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

J:MARK S. GRAHAM COMPANY:P.O. BOX 1871

**UNITED STATES PATENT AND TRADEMARK OFFICE**UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

*500810539A

MARCH 18, 2009

PTAS

MARK S. GRAHAM
P.O. BOX 1871
KNOXVILLE, TN 39701**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 03/18/2009

REEL/FRAME: 022413/0833

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: 33684-US-PCT - 64655.US

ASSIGNOR:

MESAR, TOMAZ

DOC DATE: 08/22/2006

ASSIGNOR:

COPAR, ANTON

DOC DATE: 08/22/2006

ASSIGNOR:

STURM, HUBERT

DOC DATE: 11/15/2006

ASSIGNOR:

LUDESCHER, JOHANNES

DOC DATE: 11/15/2006

ASSIGNEE:

LEK PHARMACEUTICALS D.D.
VEROVSKOVA 57
1526 LJUBLJANA, SLOVENIA

J:MARK S. GRAHAM COMPANY:P.O. BOX 1871

022413/0833 PAGE 2

SERIAL NUMBER: 10598816

FILING DATE: 12/14/2006

PATENT NUMBER:

ISSUE DATE:

TITLE: SYNTHESIS OF 2-METHYL-4-(4-METHYL-1-PIPERAZINYL)-10H-THIENO(2,3-B)
(1,5) BENZODIAZEPINE AND SALTS THEREOF

ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

J:MARK S. GRAHAM COMPANY:P.O. BOX 1871

PATENT ASSIGNMENT

Electronic Version v1.1

03/18/2009

Stylesheet Version v1.1

500810539

SUBMISSION TYPE:	NEW ASSIGNMENT										
NATURE OF CONVEYANCE:	ASSIGNMENT										
CONVEYING PARTY DATA											
<table border="1"><thead><tr><th>Name</th><th>Execution Date</th></tr></thead><tbody><tr><td>Tomaz Mesar</td><td>08/22/2008</td></tr><tr><td>Anton Copar</td><td>08/22/2008</td></tr><tr><td>Hubert Sturm</td><td>11/15/2006</td></tr><tr><td>Johannes Ludescher</td><td>11/15/2006</td></tr></tbody></table>		Name	Execution Date	Tomaz Mesar	08/22/2008	Anton Copar	08/22/2008	Hubert Sturm	11/15/2006	Johannes Ludescher	11/15/2006
Name	Execution Date										
Tomaz Mesar	08/22/2008										
Anton Copar	08/22/2008										
Hubert Sturm	11/15/2006										
Johannes Ludescher	11/15/2006										
RECEIVING PARTY DATA											
<table border="1"><tr><td>Name:</td><td>Lek Pharmaceuticals d.d.</td></tr><tr><td>Street Address:</td><td>Verovskova 57</td></tr><tr><td>City:</td><td>1526 Ljubljana</td></tr><tr><td>State/Country:</td><td>SLOVENIA</td></tr></table>		Name:	Lek Pharmaceuticals d.d.	Street Address:	Verovskova 57	City:	1526 Ljubljana	State/Country:	SLOVENIA		
Name:	Lek Pharmaceuticals d.d.										
Street Address:	Verovskova 57										
City:	1526 Ljubljana										
State/Country:	SLOVENIA										
PROPERTY NUMBERS Total: 1											
<table border="1"><thead><tr><th>Property Type</th><th>Number</th></tr></thead><tbody><tr><td>Application Number:</td><td>10598816</td></tr></tbody></table>		Property Type	Number	Application Number:	10598816						
Property Type	Number										
Application Number:	10598816										
CORRESPONDENCE DATA											
Fax Number: (865)523-4478 <i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i> Phone: 865-546-4305 Email: mgraham@ing-patent.com Correspondent Name: Mark S. Graham Address Line 1: P.O. Box 1871 Address Line 4: Knoxville, TENNESSEE 39701											
ATTORNEY DOCKET NUMBER:	33684-US-PCT - 64855.US										
NAME OF SUBMITTER:	Mark S. Graham										
Total Attachments: 2 source=64655us-form-ExecutedAssignment-Mesar&Copar#page1.tif source=64655us-form-ExecutedAssignment-Sturm&Ludescher#page1.tif											

CH \$40.00 10598816

J:MARK S. GRAHAM COMPANY:P.O. BOX 1871



UNITED STATES PATENT AND TRADEMARK OFFICE

Facsimile Transmission

To: **Name:** MARK S. GRAHAM
 Company: P.O. BOX 1871
 Fax Number: 18655234478
 Voice Phone:

From: **Name:** ASSIGNMENT SERVICES BRANCH
 Voice Phone: 571-272-3350

37 C.F.R. 1.6 sets forth the types of correspondence that can be communicated to the Patent and Trademark Office via facsimile transmissions. Applicants are advised to use the certificate of facsimile transmission procedures when submitting a reply to a non-final or final Office action by facsimile (37 CFR 1.8(a)).

Fax Notes:

Pg#	Description
1	Cover Page
2	217.TXT
4	Document 1, Batch 1601868

USPTO ASSIGNMENT SYSTEM PROCESSING

Date and time of transmission: Wednesday, March 18, 2009 4:51:04 PM
Number of pages including this cover sheet: 04

US (PCT) Case 33684-US-PCT

ASSIGNMENT

I / We Tomaz MESAR, Ljubljanska 27, 1236 Trzin, Slovenia, citizen of Slovenia
Anton COPAR, Stareto trg 1, 1275 Smartno pri Litiji, Slovenia, citizen of Slovenia
Hubert STURM, Edith-Stein-Weg 2, 6020 Innsbruck, Austria, citizen of Austria
Johannes LUDESCHER, Kleinsöll 101, 6252 Breitenbach, Austria, citizen of Austria

for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, do hereby sell and assign to **Lek Pharmaceuticals d.d., a Company organized under the laws of Slovenia, of Verovskova 57, 1526 Ljubljana, Slovenia**, its successors, assigns and legal representatives all my/our right, title and interest, in and for the United States of America, in and to the invention entitled:

**SYNTHESIS OF 2-METHYL-4-(4-METHYL-1-PIPERAZINYL)-10H-THIENO[2,3-B]
[1,5]BENZODIAZEPINE AND SALTS THEREOF**

invented by me/us and described in the international application

No. **PCT/EP2005/002876** filed **17/03/2005**

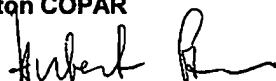
and all United States Letters Patent which may be granted therefor, and all divisions, reissues, continuations and extensions thereof, the said interest being the entire ownership of the said Letters Patent when granted, to be held and enjoyed by the said **Lek Pharmaceuticals d.d.**, its successors, assigns or other legal representatives, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held and enjoyed by me/us if this assignment and sale had not been made;

And I/we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to the said **Lek Pharmaceuticals d.d.**.

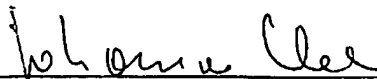
Signed on

Tomaz MESAR

Anton COPAR



Hubert STURM



Johannes LUDESCHER

15. 11. 2006

15. 11. 2006



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
PO Box 1418
Alexandria, Virginia 22313-1118
www.uspto.gov

**CUSTOMER
NUMBER:** 000083721

**CORRESPONDENCE
ADDRESS:**

Lek (Slovenia) - LUEDEKA, NEELY & GRAHAM, P.C.
P.O. BOX 1871
Knoxville, TN 37901

FAX:

PHONE: 865.5464305

E-MAIL: MGRAHAM@LNG-PATENT.COM

Date Mailed: 10/20/2008

NOTICE OF CUSTOMER NUMBER ASSIGNMENT

The request to assign a "Customer Number" to the above-identified Correspondence Address and Practitioner Registration Number(s) indicated below has been accepted by the Commissioner of Patents and Trademarks.

The Customer Number as assigned above may be used to identify the correspondence address or "fee address" for, and/or the appointed practitioner(s) in, a United States patent application or patent.

PRACTITIONER REGISTRATION NUMBER(S) ASSIGNED TO THAT CUSTOMER NUMBER:

22667, 24233, 28730, 28979, 32355, 34165, 34369, 34940
39596, 44990, 47507, 47601, 48633, 51975, 52646, 58753
58947, 61472.

Patents Electronic Business Center
866-217-9197 (toll-free) or 571-272-4100

PART I - ATTORNEY/APPLICANT COPY